

DOCKET NO.: MSFT-3476/147213.2

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Michael Rys, et al.

Confirmation No.:

Application No.: 10/764,612

Group Art Unit: Not Yet Assigned

Filing Date: January 26, 2004

Examiner: Not Yet Assigned

For: **METHOD AND APPARATUS FOR INFORMATION TRANSFORMATION  
AND EXCHANGE IN A RELATIONAL DATABASE ENVIRONMENT**

DATE OF DEPOSIT:

3-5-2004

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TYPED NAME: Steven H. Meyer  
REGISTRATION NO.: 37,189

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).



In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of

the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

☐ In accordance with § 1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with § 1.97(e) is attached;  
or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☐ Copies of references listed on the attached Form PTO-1449 are enclosed herewith
- ☐ Copies of references listed on the attached Form PTO 1449 are not required to be submitted pursuant to the June 30, 2003 recent revisions to 37 CFR § 1.98(a)(2)(i).

EXCEPT THAT:

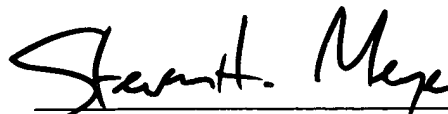
- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
- ☒ In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:
  - ☒ Copies of references **1 thru 15** listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior Application No. **09/605,923**, filed **June 28, 2000**.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

There are no listed references which are not in the English language.

Date:

3-5-2004



Steven H. Meyer

Registration No. 37,189

WOODCOCK WASHBURN LLP  
One Liberty Place - 46th Floor  
Philadelphia, PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439



Sheet 1 of 2

<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. <b>MSFT-3476/147213.2</b>	Application No. <b>10/764,612</b>
	Applicant <b>Michael Rys, et al.</b>	
	Filing Date <b>January 26, 2004</b>	Group <b>Not Yet Assigned</b>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>		
	<b>1</b>	Bosak, J. et al., "XML and the Second-Generation Web", <i>Scientific American</i> , <b>May 1999</b> , 280(5), 7 pages
	<b>2</b>	Bosworth, A., "Europe SGML/XML", <a href="http://www.oasis-open.org/cover/bosworthXML98.html">http://www.oasis-open.org/cover/bosworthXML98.html</a> , Microsoft's Vision for XML, <b>August 9, 2000</b> , 10 pages
	<b>3</b>	Shanmugasundaram, J. et al., "Relational Databases for Querying XML Documents: Limitations and Opportunities", <i>Proceedings of the Conference on Very Large Databases</i> , <b>1999</b> , 13 pages
	<b>4</b>	Deutsch, A. et al., "Storing Semistructured Data with STORED", <i>SIGMOD</i> , <b>1999</b> , 431-442
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>



<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. <b>MSFT-3476/147213.2</b>	Application No. <b>10/764,612</b>
	Applicant <b>Michael Rys, et al.</b>	
	Filing Date <b>January 26, 2004</b>	Group <b>Not Yet Assigned</b>

**U. S. PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Name	Class	Subclass
	5	5,983,267	11/09/99	Shklar, L. et al.	709	217
	6	5,991,713	11/23/99	Unger, J.	704	9
	7	6,065,048	05/16/00	Higley, T.	709	218
	8	6,073,143	06/06/00	Nishikawa, Y. et al.	707	513
	9	5,842,196	11/24/98	Agarwal, et al.	707	2
	10	5,970,490	10/19/99	Morgenstern, M.	707	10
	11	6,209,124 B1	03/27/01	Vermeire, et al.	717	1
	12	6,350,066 B1	02/26/02	Bobo, II, Charles R	395	200.36
	13	6,356,920 B1	03/12/02	Vandersluis, Kirstan A	707	501.1
	14	6,366,934 B1	04/02/02	Cheng, et al.	707	513
	15	6,377,953 B1	04/23/02	Gawlick, et al.	707	102

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO

**EXAMINER**

**DATE CONSIDERED**